

**PART
6**

Health and Safety Requirements for Providers

The National Resource Center for Health and Safety in Child Care (NRCHSCC)¹ of DHHS's Maternal and Child Health Bureau supports a comprehensive, current, on-line listing of the licensing and regulatory requirements for child care in the 50 States and the District of Columbia. In lieu of requiring a State Lead Agency to provide information that is already publicly available, ACF accepts this compilation as accurately reflecting the States' licensing requirements. The listing, which is maintained by the University of Colorado Health Sciences Center School of Nursing, is available on the World Wide Web at: <http://nrc.uchsc.edu/>.

In Part 6, States describe the health and safety requirements that are applicable to all providers of services for which assistance is provided under the Child Care and Development Fund (CCDF). Lead Agencies also describe their health and safety requirements for relative providers. States describe procedures for ensuring that child care providers comply with all applicable health and safety requirements and how the Lead Agencies enforce those requirements.²

Section 6.1 – Health and Safety Requirements for Center-Based Providers

(658E(c)(2)(F), §§98.41, §98.16(j))

The following describes health and safety requirements for licensed and license-exempt, center-based providers who are paid with CCDF funds.

6.1.1 – Licensing Requirements for Center-Based Providers

*Are all center-based providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? If no, **describe** which center-based providers are exempt from licensing under State law.*

Twenty-seven States (AK, AR, AZ, CO, DC, DE, GA, IA, ID, KS, KY, MA, MD, ME, MS, MT, NC, ND, NE, NJ, NM, OH, OK, PA, SC, SD, VT) require all center-based providers paid with CCDF funds to be licensed under State law as reflected in the National Resource Center for Health and Safety in Child Care and Early Education (NRC) compilation.

¹ This organization is now the National Resource Center for Health and Safety in Child Care and Early Education.

² CCDF regulations allow States to exempt the following types of relative providers: grandparents, great grandparents, aunts, uncles, or siblings (who live in a residence separate from the child in care).

Twenty-four States (AL, CA, CT, FL, HI, IL, IN, LA, MI, MN, MO, NH, NV, NY, OR, RI, TN, TX, UT, VA, WA, WI, WV, WY) do not require all center-based providers paid with CCDF funds to be licensed under State law as reflected in the NRC compilation.

As shown in Table 6.1-A, the States that do not require all center-based providers to be licensed allow various types of center-based providers to be exempt from licensing requirements.

Center Type	Number of States	State
School-based centers operated by State departments of education or local school districts	16	CT, FL, HI, IL, IN, LA, MN, MO, NY, OR, UT, VA, WA, WI, WV, WY
School-age programs (e.g., recreational, Boys and Girls clubs)	11	CA, CT, HI, IL, IN, MN, NH, NV, OR, TN, VA
Centers that operate part time	7	AL, CA, IN, MN, NY, OR, WV
Summer camps	6	MN, NY, RI, TX, WA, WV
Centers operated by religious organizations	6	AL, FL, IN, MO, UT, VA
Military-based centers	5	AL, HI, MI, TX, WA
Onsite drop-in centers	5	IL, MI, MN, OR, WV
Tribal centers	4	MI, NY, WA, WY
Other types of center-based programs	13	AL, CA, CT, HI, IL, IN, MN, NY, UT, VA, WA, WI, WY

6.1.2 – Modified Requirements for Center-Based Providers

Have center licensing requirements as they relate to staff-child ratios, group size, or staff training been modified since approval of the last State Plan? (§98.41(a)(2)&(3)) If yes, describe the changes.

Sixteen States (AK, CO, DC, DE, IN, MD, ME, MI, NM, OH, OK, SC, TN, VA, WI, WV) report modifying their licensing requirements for center-based providers since approval of the last CCDF Plan.³ The modifications to staff training requirements for center-based providers include adding a requirement for infant and toddler caregivers to complete training in the care of that age group, increasing the number of annual ongoing training hours, specifying the content of ongoing training hours, and requiring center-based providers to enroll in the State’s personnel registry. States also modified staff-child ratios and group size requirements for specific age groups, such as infants,

³ Montana did not indicate that center-based requirements are modified, but describes a change in requirements for center directors in another section of its CCDF Plan.

toddlers, preschool-age, and school-age children. One State also modified its requirements on the transportation of children. Table 6.1-B provides a summary of these modifications.

Requirement	Number of States	State
Staff training	14	AK, CO, DC, DE, IN, MD, MI, NM, OH, OK, SC, TN, WI, WV
Staff-child ratios	7	DC, DE, IN, ME, SC, TN, VA
Group size	5	DC, DE, IN, ME, MI
Other	2	OK, TN

6.1.3 – Requirements for License-Exempt, Center-Based Providers

For center-based care that is NOT licensed, and therefore not reflected in NRCHSCC’s compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- *The prevention and control of infectious disease (including age-appropriate immunizations)*
- *Building and physical premises safety*
- *Health and safety training*

Table 6.1-C provides a summary of requirements for license-exempt, center-based providers. CCDF Federal regulations require States to have health and safety requirements in three areas: prevention and control of infectious disease (including age-appropriate immunizations), building and physical premises safety, and health and safety training. CCDF Lead Agencies vary in how they require center-based providers to meet these requirements. The States that provide CCDF payments to providers who are not required to be licensed establish their own methods to ensure that Federal health and safety requirements are met. Other requirements in Table 6.1-C include requirements about storing hazardous materials, the availability of a working telephone in the facility, conducting fire drills, and toileting and hand-washing facilities.

TABLE 6.1-C
Health and Safety Requirements for License-Exempt, Center-Based Providers

Requirement	Number of States	State
Requirements from another oversight entity	11	CA, FL, LA, MI, MN, NV, RI, TX, VA, WA, WI
CPR/first aid training	7	IN, LA, NV, VA, WA, WV, WY
Fire, building, and/or health inspection	7	CA, FL, MO, UT, VA, WI, WV
Self-certification or completion of a health/safety checklist	6	AL, CT, HI, RI, TN, WY
Tuberculosis test	4	HI, IL, IN, WI
Background check	4	CA, FL, OR, WV
Training (i.e., orientation, preservice, and/or ongoing training, excluding CPR and first aid training)	3	VA, WI, WV
Physical exam or health statement	1	IL
Other requirements	6	IL, IN, NH, NY, WA, WI

Section 6.2 – Health and Safety Requirements for Group Home Providers

(658E(c)(2)(F), §§98.41, 98.16(j))

The following describes health and safety requirements for licensed and license-exempt group home providers paid with CCDF funds. CCDF regulations define group home child care providers as “two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child’s residence, unless care in excess of 24 hours is due to the nature of the parent(s)’ work” (658E(c)(2)(F), §98.2).

6.2.1 – Licensing Requirements for Group Home Providers

Are all group home providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC’s compilation? If no, describe which group home providers are exempt from licensing under State law.

Of the 40 States that have a category of group homes, 37 (AK, AR, AZ, CA, CO, CT, DE, FL, GA, HI, IA, ID, IL, KS, KY, MA, MN, MO, MS, MT, ND, NE, NH, NM, NV, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT, WV) report that they require all group home providers paid with CCDF funds to be licensed under State law as reflected in the NRC compilation.⁴

⁴ Eleven States (DC, IN, LA, MD, ME, NC, NJ, VA, VT, WA, WI) do not have a group home category.

Three States (AL, MI, WY) report that they do not require all group home providers paid with CCDF funds to be licensed under State law as reflected in the NRC compilation.

6.2.2 – Modified Group Home Requirements

Have group home licensing requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3)) If yes, describe the changes.

Eight States (AK, CO, MI, OH, OK, OR, SC, WV) report modifying their licensing requirements for group home providers since approval of the last CCDF Plan. The modifications to staff training requirements for group home providers include increasing the number of annual ongoing training hours and specifying the content of ongoing training hours. One State increased the number of children who can be cared for in a group home, and another State modified its requirements on the prevention of Sudden Infant Death Syndrome. Table 6.2-A provides a summary of these modifications.

Requirement	Number of States	State
Staff training	7	AK, CO, MI, OH, OK, SC, WV
Group size	1	OR
Other	2	OK, WV

6.2.3 – Requirements for License-Exempt Group Home Providers

For group home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- *The prevention and control of infectious disease (including age-appropriate immunizations)*
- *Building and physical premises safety*
- *Health and safety training*

Table 6.2-B provides a summary of requirements for license-exempt group home providers. CCDF Federal regulations require child care providers to meet health and safety requirements in three areas: prevention and control of infectious disease (including age-appropriate immunizations), building and physical premises safety, and health and safety training. CCDF Lead Agencies vary in how they require group home providers to meet these requirements. The States that provide CCDF payments to providers who are not required to be licensed establish their own methods to ensure that Federal health and safety requirements are met.

Requirement	Number of States	State
Self-certification or completion of a health/safety checklist	3	AL, MI, WY
CPR/first aid training	1	WY

Section 6.3 – Health and Safety Requirements for Family Providers

(658E(c)(2)(F), §§98.41, 98.16(j))

The following describes health and safety requirements for licensed and license-exempt family child care providers paid with CCDF funds. CCDF regulations define a family child care provider as “one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child’s residence, unless care in excess of 24 hours is due to the nature of the parent(s)’ work” (658E(c)(2)(F), §98.2).

6.3.1 – Licensing Requirements for Family Child Care

Are all family child care providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC’s compilation? If no, describe which family child care providers are exempt from licensing under State law.

Sixteen States (AR, AZ, CT, DC, DE, GA, KS, KY, MA, MD, NC, NJ, OK, VT, WA, WV) report that they require all family child care providers paid with CCDF funds to be licensed under State law as reflected in the NRC compilation.

Thirty-five States (AK, AL, CA, CO, FL, HI, IA, ID, IL, IN, LA, ME, MI, MN, MO, MS, MT, ND, NE, NH, NM, NV, NY, OH, OR, PA, RI, SC, SD, TN, TX, UT, VA, WI, WY) report that they do not require all family child care providers paid with CCDF funds to be licensed under State law as reflected in the NRC compilation.

Table 6.3-A summarizes licensing exemptions for family child care providers. The most common type of exemption relates to the number of children in care. Other types of exemptions in Table 6.3-A include family child care homes located on Tribal land or military installations, care provided for a small number of hours per day, and care provided on an occasional basis.

TABLE 6.3-A
Licensing Exemptions for Family Child Care Providers

Exemption	Number of States	State
Small number of children in care*	23	CO, HI, IA, ID, IL, IN, ME, MN, MO, MT, ND, NE, NH, NY, OH, OR, PA, SC, TN, UT, VA, WI, WY
Care provided by a relative (in the provider's home)	10	AK, HI, IN, MN, NV, NY, OR, SD, UT, VA
Children in care are siblings or from one family	6	CO, IL, MT, NE, OR, WY
Other types of exemptions	12	AK, AL, FL, IN, LA, MI, MS, NY, OR, RI, TX, WY

*States typically define a "small number of children" as one or two children or the children from one family.

6.3.2 – Modified Family Child Care Requirements

Have family child care provider requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3)). If yes, describe the changes.

Fourteen States (AK, CO, DC, IN, KY, MD, ME, MI, MO, MT,⁵ NM, NY,⁶ OK, WI) report modifying their requirements for family child care providers since approval of the last CCDF Plan. The modifications to requirements for family child care providers include adding a requirement for first aid and CPR training, increasing the number of annual ongoing training hours, and specifying the content of ongoing training hours. States also modify the requirements for the ages of children counted in the group size. For example, one State requires that the provider's own children younger than age 5 must be counted in the total number of children allowed. Table 6.3-B presents a summary of these modifications.

TABLE 6.3-B
Modified Family Child Care Requirements

Requirement	Number of States	State
Staff training	10	AK, CO, DC, KY, MD, ME, MI, NM, OK, WI
Staff-child ratios	2	DC, ME
Group size	2	DC, KY
Other	3	IN, MO, OK

⁵ Montana indicates that family child care requirements were modified, but did not report the type of requirements that were changed.

⁶ New York indicates that family child care requirements were modified, but reports changes in training requirements for legally exempt and in-home providers.

6.3.3 – Requirements for License-Exempt Family Child Care Providers

For family care that is NOT licensed, and therefore not reflected in NRCHSCC’s compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- *The prevention and control of infectious disease (including age-appropriate immunizations)*
- *Building and physical premises safety*
- *Health and safety training*

Table 6.3-C provides a summary of requirements for license-exempt family child care providers. CCDF Federal regulations require States to have health and safety requirements in three areas: prevention and control of infectious disease (including age-appropriate immunizations), building and physical premises safety, and health and safety training. CCDF Lead Agencies vary in how they require family child care providers to meet these requirements. The States that provide CCDF payments to providers who are not required to be licensed establish their own methods to ensure that Federal health and safety requirements are met. Other requirements in Table 6.3-C include requirements about fire extinguishers, storing hazardous materials, number of exits, diapering and hand-washing procedures, and availability of a working telephone.

Requirement	Number of States	State
Self-certification or completion of a health/safety checklist	21	AK, AL, CA, CO, FL, HI, IA, ID, LA, MI, MO, MS, MT, NE, PA, RI, SD, TN, UT, VA, WY
Training (i.e., orientation, preservice, and/or ongoing training, excluding CPR and first aid training)	10	FL, IN, LA, MT, NM, NV, RI, UT, VA, WI
CPR/first aid training	8	AK, IA, ID, IN, LA, NM, VA, WY
Tuberculosis test	7	CA, HI, IL, IN, MO, VA, WI
Background check	5	CA, FL, LA, MO, OR
Requirements from another oversight entity	5	FL, MN, MO, TX, UT
Physical exam or health statement	2	IL, LA
Fire, building, and/or health inspection	1	LA
Other requirements	16	CA, IA, IL, IN, MS, MT, NE, NH, NM, NV, NY, PA, RI, SC, UT, WI

Section 6.4 – Health and Safety Requirements for In-Home Providers

(658E(c)(2)(F), §§98.41, 98.16(j))

The following describes health and safety requirements for licensed and license-exempt, in-home providers paid with CCDF funds. CCDF regulations define an in-home child care provider as “an individual who provides child care services in the child’s own home” (658E(c)(2)(F), §98.2).

6.4.1 – Licensing Requirements for In-Home Care

Are all in-home child care providers paid with CCDF funds subject to licensing under the State law reflected in the NRCHSCC’s compilation referenced above? If no, describe which in-home child care providers are exempt from licensing under State law.

No State requires in-home child care providers paid with CCDF funds to be licensed under State law as reflected in the NRC compilation. However, some of these States may require in-home providers to be certified or registered in order to be paid with CCDF funds.

Table 6.4-A summarizes licensing exemptions for in-home care providers. Thirty States report that all in-home care providers are exempt from licensing requirements.

Exemption	Number of States	State
All in-home care providers are exempt	30	AK, AL, CO, DC, FL, IA, ID, IL, IN, KY, LA, MA, ME, MI, MN, MS, NE, NH, NJ, NM, OH, OK, PA, RI, SC, SD, UT, WI, WV, WY
Small number of children in care	8	MO, MT, NC, ND, NV, OR, TN, VA
Care provided by a relative (in the child’s home)	7	CT, DE, GA, MD, OR, TX, WA
Children in care are siblings or from one family	4	CA, HI, MD, OR
Care provided by a friend or neighbor (in the child’s home)	3	CT, DE, WA
Part-time care/occasional care	1	OR

6.4.2 – Modified In-Home Care Requirements

Have in-home health and safety requirements that relate to staff-child ratios, group size, or training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3)). If yes, describe the changes.

Four States (AK, KY, NM, WI) report modifying their licensing requirements for in-home providers since approval of the last CCDF Plan. For example, one State modified the requirements for in-home providers who receive CCDF payments. These providers must register with the State, verify they are in good general health and able to care for children, and obtain annual training. Table 6.4-B summarizes these modifications.

Requirement	Number of States	State
Staff training	3	KY, NM, WI
Group size	1	AK
Other	1	KY

6.4.3 – Requirements for License-Exempt, In-Home Care

For in-home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- *The prevention and control of infectious disease (including age-appropriate immunizations)*
- *Building and physical premises safety*
- *Health and safety training*

Table 6.4-C summarizes requirements for license-exempt, in-home care providers. CCDF Federal regulations require States to have health and safety requirements in three areas: prevention and control of infectious disease (including age-appropriate immunizations), building and physical premises safety, and health and safety training. CCDF Lead Agencies vary in how they require in-home providers to meet these requirements. The States that provide CCDF payments to providers who are not required to be licensed establish their own methods to ensure that Federal health and safety requirements are met.

TABLE 6.4-C
Health and Safety Requirements for License-Exempt, In-Home Providers

Requirement	Number of States	State
Self-certification or completion of a health/safety checklist	29	AL, CA, CO, CT, DE, HI, IA, ID, KS, KY, LA, MA, MD, ME, MO, MS, MT, NC, NJ, NM, OH, OK, RI, SC, SD, UT, VA, WA, WY
Training (i.e., orientation, preservice, and/or ongoing training, excluding CPR and first aid training)	14	DC, DE, FL, GA, IN, KY, MA, MT, NV, OK, RI, VA, WI, WV
Background check	13	AK, CA, CT, DE, FL, LA, MA, MO, NC, OR, TX, WA, WV
Tuberculosis test	9	CA, DE, HI, IL, IN, KY, MO, NC, VA
CPR/first aid training	9	DE, IA, ID, IN, LA, MA, NC, VA, WY
Requirements from another oversight entity	5	FL, MI, MN, MO, UT
Physical exam or health statement	3	DC, IL, WV
Other requirements	17	CA, DC, GA, IA, IL, IN, KY, MD, MS, NE, NH, NY, PA, RI, WA, WI, WV

Section 6.5 – Exemptions to Health and Safety Requirements

At Lead Agency option, the following relatives: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care) may be exempted from health and safety requirements. (658P(4)(B), §98.41(a)(1)(ii)(A))

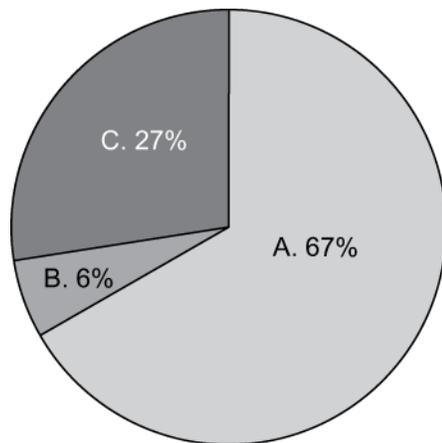
Indicate the Lead Agency’s policy regarding these relative providers:

- *All relative providers are subject to the same requirements as described in sections 6.1 - 6.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.*
- *All relative providers are **exempt** from all health and safety requirements.*
- ***Some or all** relative providers are subject to different health and safety requirements from those described in sections 6.1 - 6.4. Describe those requirements and identify the relatives they apply to.*

Lead Agencies have the option of exempting relative care providers (i.e., grandparents, great grandparents, aunts, uncles, or siblings) from their health and safety requirements.

Figure 6.5 shows that 34 States subject all relative care providers to the same health and safety requirements as those for other child care providers. In three States, relative providers are exempt from all health and safety requirements. Figure 6.5 also shows that 14 States subject some or all relative providers to different requirements than those described for other child care providers. In these States, relative providers may not be subject to background checks, be required to maintain immunization records of the children, or may be allowed to care for more children than nonrelative providers.

FIGURE 6.5



- A. Subjects all relative providers to the same requirements as other providers
- B. Exempts all relative providers from all health and safety requirements
- C. Subjects some or all relative providers to different health and safety requirements

Category	State	Total
A	AK, AR, CT, DC, DE, GA, HI, IA, ID, IL, IN, KY, LA, MD, MN, MO, MS, MT, NE, NH, NJ, NM, NY, OH, OK, OR, PA, SC, UT, VT, WA, WI, WV, WY	34
B	AL, ME, ND	3
C	AZ, CA, CO, FL, KS, MA, MI, NC, NV, RI, SD, TN, TX, VA	14

*This figure represents data from all 51 States; categories are mutually exclusive.

Section 6.6 – Enforcement of Health and Safety Requirements

Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements.

(658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) Describe how health and safety requirements are effectively enforced.

States indicate health and safety requirements are enforced through unannounced visits, background checks, and reports of serious injuries. Additional methods of addressing health and safety issues include conducting site visits, investigating complaints, delivering technical assistance to providers, and initiating corrective actions.

Unannounced Visits

Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)? If yes, *indicate* which providers are subject to routine unannounced visits and the frequency of those visits.

Forty-six States (AK, AL, AR, AZ, CA, CO, CT, DC, DE, FL, GA, HI, IA, IL, IN, MA, MD, ME, MI, MN, MO, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT, VA, VT, WA, WI, WV, WY) subject child care providers to routine unannounced visits.

Five States (ID, KS, KY, LA, MS) do not subject child care providers to routine unannounced visits.

As shown in Tables 6.6-A–6.6-D, Lead Agencies report the frequency of unannounced inspections by type of program. States most often report they conduct unannounced inspections at least once a year in center-based programs, group homes, and family child care homes.

Center-Based Providers

Table 6.6-A shows the frequency of unannounced visits for center-based programs as reported by Lead Agencies.

Frequency	Number of States	State
Once a year	18	AZ, GA, HI, IA, IL, IN, MA, MD, NC, ND, NJ, OH, OR, TX, UT, VA, WA, WV
More than once a year	8	AR, DC, FL, MO, MT, NV, OK, TN
Less than once a year	5	CA, CO, CT, MI, NH
Other frequency	5	AL, DE, ME, NE, PA
Did not report frequency	10	AK, MN, NM, NY, RI, SC, SD, VT, WI, WY

Group Homes

Table 6.6-B shows the frequency of unannounced visits for group homes as reported by Lead Agencies.

TABLE 6.6-B Frequency of Unannounced Visits for Group Homes		
Frequency	Number of States	State
Once a year	7	DE, IL, MA, NE, OH, OR, UT
More than once a year	6	AR, AZ, MO, NV, OK, TN
Less than once a year	5	CO, CT, MI, MT, NH
Other frequency	2	AL, PA
Did not report frequency	26	AK, CA, DC, FL, GA, HI, IA, IN, MD, ME, MN, NC, ND, NJ, NM, NY, RI, SC, SD, TX, VA, VT, WA, WI, WV, WY

Family Child Care Homes

Table 6.6-C shows the frequency of unannounced visits for family child care homes as reported by Lead Agencies.

TABLE 6.6-C Frequency of Unannounced Visits for Family Child Care Homes		
Frequency	Number of States	State
Once a year	12	AZ, DE, HI, IL, MA, MD, NC, ND, NE, OH, UT, VA
More than once a year	7	AR, DC, FL, MO, NV, OK, TN
Less than once a year	7	CA, CO, CT, IN, MT, NH, TX
Other frequency	5	AL, GA, IA, ME, WA
Did not report frequency	15	AK, MI, MN, NJ, NM, NY, OR, PA, RI, SC, SD, VT, WI, WV, WY

In-Home Care

Table 6.6-D shows the frequency of unannounced visits for in-home care providers as reported by Lead Agencies.

Frequency	Number of States	State
Once a year	1	AZ
Other frequency	2	AK, NC
Did not report frequency	43	AL, AR, CA, CO, CT, DC, DE, FL, GA, HI, IA, IL, IN, MA, MD, ME, MI, MN, MO, MT, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT, VA, VT, WA, WI, WV, WY

Background Checks

Are child care providers subject to background checks? If yes, indicate which types of providers are subject to background checks and when such checks are conducted.

All 51 States subject certain providers to some type of background check as a way to ensure compliance with health and safety requirements. Table 6.6-E shows the types of child care providers and other adults in child care settings who are subject to background checks as reported by States in their CCDF Plans.

TABLE 6.6-E
Types of Providers Subject to Background Checks

Type of Provider	Number of States	State
Licensed center-based staff	49	AK, AL, AR, AZ, CA, CO, CT, DE, FL, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT, VA, VT, WA, WI, WV, WY
Licensed family and/or group child care home providers	46	AK, AL, AR, AZ, CA, CO, CT, DE, FL, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MN, MO, MT, NC, ND, NE, NH, NM, NV, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT, VA, VT, WA, WI, WV, WY
Household members in family and/or group child care homes	33	AZ, CA, CO, CT, DE, IA, ID, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, NC, NE, NJ, NM, NY, OK, RI, SD, TN, TX, UT, VA, VT, WA, WI, WV
Employees/assistants in family and/or group child care homes	23	AR, AZ, CA, CO, CT, IA, ID, IN, KS, MD, MO, NE, NM, NY, OK, PA, SC, TX, VA, VT, WA, WI, WV
In-home providers	16	AK, AZ, CT, IL, LA, MA, MI, NC, NJ, NY, OH, OR, PA, SD, TX, WV
Legally exempt providers	15	CA, CO, CT, FL, HI, IL, IN, ME, NH, NJ, OR, PA, RI, VT, WV
Volunteers	12	AZ, CA, ID, IN, KS, LA, ME, MO, NY, SD, VA, WA
Relative providers	9	AZ, HI, IL, KS, MI, ND, TX, UT, WV
Other types of providers	3	AK, AL, DE

As shown in Table 6.6-F, requirements for background checks can include checks of State and/or Federal criminal history records, child abuse and neglect registries, fingerprints, and sex offender registries.

TABLE 6.6-F
Types of Background Checks

Type of Check	Number of States	State
Child abuse registry check	30	AR, AZ, CA, CO, DE, HI, IA, ID, IL, IN, MA, MD, ME, MI, MT, ND, NJ, NM, NY, OR, PA, SC, SD, TX, VA, VT, WA, WI, WV, WY
State criminal background check	29	AL, AR, CA, CO, DE, FL, HI, IA, ID, IN, KY, MA, MD, ME, MI, MT, NM, NY, OK, OR, PA, SC, SD, TX, VA, VT, WI, WV, WY
State or Federal fingerprint check	12	AK, AR, AZ, CA, CO, FL, HI, MI, NJ, NY, WA, WV
FBI criminal background check	8	CO, FL, ID, MD, NM, PA, SC, WA
Sex offender registry check	5	IA, ND, NY, SC, TX
Self-certification/declaration	3	NY, VA, WV
Other checks	8	CO, FL, HI, IA, IN, ME, WA, WI
Type of check not specified	15	CT, DC, KS, LA, MN, MO, MS, NC, NE, NH, NV, OH, RI, TN, UT

Reporting Serious Injuries

Does the State require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.) If yes, describe the State's reporting requirements and how such injuries are tracked.

Forty-seven States (AK, AL, AR, AZ,⁷ CA, CO, CT,⁸ DE, FL, GA, IA, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MS, MT, NC, ND, NE, NJ, NM, NV, NY, OH, OK, OR, PA, RI, SC, SD, TN, TX, UT, VA, VT, WA, WI, WV, WY) require child care providers to report serious injuries that occur while children are in care.

Four States (HI, ID, MO, NH) do not require providers to report serious injuries that occur while children are in care.

Table 6.6-G provides a summary of timeframe requirements for reporting serious injuries. The most common required timeframe that States report is within 24 hours of the incident.

Timeframe	Number of States	State
Within 24 hours	15	AL, CA, CO, CT, DC, GA, LA, MD, MI, MT, ND, NJ, SD, UT, WY
Immediately	6	IL, IA, MA, MN, MS, NE
Within 48 hours	4	SC, TX, VT, WI
Other timeframe	5	DE, NV, OK, VA, WV
Did not report timeframe	17	AK, AR, AZ, FL, IN, KS, KY, ME, NC, NM, NY, OH, OR, PA, RI, TN, WA

⁷ Arizona reports that the requirements are only for family child care and in-home care providers.

⁸ Connecticut reports that the requirements are only for family child care providers.

Additional Enforcement Methods

Describe other methods used to ensure that health and safety requirements are effectively enforced.

As shown in Table 6.6-H, Lead Agencies report additional methods they use to enforce health and safety requirements. States use monitoring site visits as a primary method of enforcement.

Enforcement	Number of States	State
Monitoring site visits (i.e., licensing or Lead Agency inspections)	28	CA, CO, DC, DE, FL, HI, IL, IN, KS, KY, MA, MD, MI, MO, MT, ND, NH, NJ, NM, OH, PA, TN, UT, VA, VT, WA, WI, WV
Complaint investigations	15	CA, HI, IN, KS, MI, NE, NH, NM, NY, OH, TN, UT, VT, WA, WI
Corrective actions (denying, revoking, suspending, or issuing probationary licenses)	13	AZ, CA, IN, KS, LA, MA, MO, NH, PA, VA, WA, WI, WV
Technical assistance for providers	13	AZ, CA, DE, GA, IA, KY, MA, NC, SC, VA, VT, WA, WI
Orientations, meetings, or training for providers	11	AK, AZ, CA, DC, DE, MA, NC, OH, VT, WA, WI
Fire, sanitation, building, and/or health inspection (in addition to licensing)	10	CA, CO, DE, MO, MT, NC, NE, OR, WA, WV
Civil or criminal fines	5	CA, DC, IN, KS, WV
Other enforcement methods	11	AK, CO, GA, IA, IN, LA, MA, ND, UT, WI, WY

Section 6.7 – Exemptions from Immunization Requirements

The State assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the State public health agency. (§98.41(a)(1))

The State exempts the following children from immunization:

- *Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).*
- *Children who receive care in their own homes.*
- *Children whose parents object to immunization on religious grounds.*
- *Children whose medical condition contraindicates immunization.*

Lead Agencies can offer exemptions from immunization requirements for children cared for by relatives, in their own homes, whose parents object to immunization on religious grounds, and whose medical conditions contraindicate immunization.

Figure 6.7 shows that 50 States allow exemptions for children whose medical condition contraindicates immunization, and 49 States allow exemptions for children whose parents object to immunization on religious grounds. States also allow exemptions for children who receive care in their own homes and those cared for by relatives.

